

12/20/01

JC961 U.S. PTO

12-27-01

PTO/SB/05 (4/98)

Please type a plus sign (+) inside this box → ☒

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	V637-01520 US
First Inventor or Application Identifier	Ralph H. Johnson
Title	VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING INDIUM IN THE ACTIVE REGION
Express Mail Label No.	EL597435783US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 24]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 22]
4. Oath or Declaration [Total Pages 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☒ Other: Certificate of Mailing

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

000-128

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	Andrew A. Abeyta				
	Honeywell International Inc. PATENT TRADEMARK OFFICE				
Address	101 Columbia Road				
	POB 2245				
City	Morristown	State	NJ	Zip Code	07962
Country	U.S.A.	Telephone	602-313-3345	Fax	602-313-4559

Name (Print/Type)	Andrew A. Abeyta	Registration No. (Attorney/Agent)	39,582
Signature		Date	12/20/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Dec. 20, 2001

This form is a Replica of PTO/SB/17 (01/01)

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**FEE TRANSMITTAL  
For FY 2001**

Patent fees are subject to annual revision.

**COMPLETE IF KNOWN**

Application No.	T.B.D.
Filing Date	December 20, 2001
First Named Inventor	Ralph H. Johnson
Group Art Unit	T.B.D.
Examiner Name	T.B.D.
Attorney Docket No.	V637-01520 US

**TOTAL AMOUNT OF PAYMENT** \$780.00**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **01-1125**Deposit Account Name **Honeywell International Inc.**

- ☒ Charge any Additional Fee Required Under 37 CFR §§1.16 & 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Large Entity Fee \$	Small Entity Fee Code	Small Entity Fee \$	Fee Description	Fee Paid
101	740	201	370	Utility Filing Fee	740
102	330	206	165	Design Filing Fee	
107	510	207	255	Plant Filing Fee	
108	740	208	370	Reissue Filing Fee	
114	160	214	80	Provisional Filing Fee	
<b>SUBTOTAL (1)</b>					<b>\$740.00</b>

**2. EXTRA CLAIM FEES**

Total Claims	6	-20 =	-0-	Extra Claims	18.00	x	-0-	Fee Paid	-0-
Independent Claims	3	-3 =	-0-		84.00	x	-0-		-0-
Multiple Dependent Claims			-0-		280.00	x	-0-		-0-

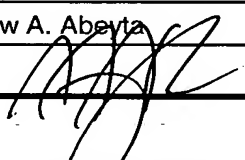
Large Entity Fee Code	Large Entity Fee \$	Small Entity Fee Code	Small Entity Fee \$	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>\$ - 0 -</b>

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee \$	Small Entity Fee Code	Small Entity Fee \$	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,250	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,150	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	3370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee	
Other fee (specify)					
<b>SUBTOTAL (3)</b>					<b>\$40.00</b>

\* Reduced by Basic Filing Fee Paid

**SUBMITTED BY**

Name (Print / Type)	Andrew A. Abovta	Registration No. (Attorney/Agent)	39,582	Complete (if applicable)	
Signature		Telephone	602-313-3345	Date	December 20, 2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Docket No. V637 01520 US  
Serial No. t. b. d.  
Filed December 20, 2001

## Certificate of Mailing under 37 CFR 1.10

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Box New Patent Application  
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POB 2327  
Arlington, VA 22202

on December 20, 2001  
(Date)



Signature

Tessa Ricar

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Patent Application Transmittal;
2. Fee Transmittal for FY 2001, two copies;
3. Patent Application, twenty-four pages;
4. Formal drawings, twenty-two pages;
5. Declaration for Utility or Design Patent Application, two pages;
6. Recordation Form Cover Sheet, two pages;
7. Assignment, one page;
8. Certificate of Mailing;
9. Return post card.

U.S. Express Mail Airbill No. **EL597435783US**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICATION FOR UNITED STATES PATENT

**VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING INDIUM IN THE  
ACTIVE REGION**

INVENTOR

Ralph H. Johnson

211 Ridgeview

Murphy, TX 75094

A Citizen of the United States of America

**EXPRESS MAIL NO.: EL597435783US**